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Assistant Commissioner for Patents
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Sir:

Transmitted herewith for filing is the patent application of Inventor(s):

Messaoud Benantar, Thomas L. Gindin, Ivan MilmanFor: **METHOD AND SYSTEM FOR COUPLING AN X.509 DIGITAL CERTIFICATE
WITH A HOST IDENTITY**

Enclosed are also:

- ☒ 22 Pages of Specification including an Abstract
- ☒ 12 Pages of Claims
- ☒ 9 Sheet(s) of Drawings
- ☒ A Declaration and Power of Attorney
- ☒ Form PTO 1595 and assignment of the invention to IBM Corporation
- ☒ Form PTO 1449 Information Disclosure Statement
- ☒ Copies of References
- ☒ Our return postcard

CLAIMS AS FILED

FOR	Number Filed		Number Extra		Rate		Basic Fee (\$690)
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Respectfully,

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**METHOD AND SYSTEM FOR COUPLING
AN X.509 DIGITAL CERTIFICATE WITH A HOST IDENTITY**

BACKGROUND OF THE INVENTION

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1. Field of the Invention

The present invention relates to an improved data processing system and, in particular, to a method and apparatus for multicomputer data transferring. Still more particularly, the present invention provides a method and apparatus for computer-to-computer authentication.

2. Description of Related Art

The commercial use of the Internet has dramatically increased the use of technology. During the early adoption of the Internet for commercial use, one would frequently learn of enterprises that were moving legacy applications to the World Wide Web or introducing Internet functionality into these legacy applications. Web-based and Internet-based applications have now become so commonplace that when one learns of a new product or service, one assumes that the product or service will incorporate Internet functionality into the product or service. New applications that incorporate significant proprietary technology are only developed when an enterprise has a significantly compelling reason for doing so.

Many corporations have employed proprietary data services for many years, but it is now commonplace to assume that individuals and small enterprises also have access to digital communication services. Many of these services are or will be Internet-based, and the amount of electronic communication on the Internet is growing exponentially.

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One of the factors influencing the growth of the Internet is the adherence to open standards for much of the Internet infrastructure. Individuals, public institutions, and commercial enterprises alike are able to introduce new content, products, and services that are quickly integrated into the digital infrastructure because of their ability to exploit common knowledge of open standards.

Concerns about the integrity and privacy of electronic communication have also grown with adoption of Internet-based services. Various encryption and authentication technologies have been developed to protect electronic communication. For example, an open standard promulgated for protecting electronic communication is the X.509 standard for digital certificates.

An X.509 digital certificate is an International Telecommunications Union (ITU) standard that has been adopted by the Internet Engineering Task Force (IETF) body. It cryptographically binds the certificate holder, presumably the subject name that the certificate contains, with its public cryptographic key. This cryptographic binding is based on the involvement of a trusted entity in the Internet Public Key Infrastructure (PKIX) called the "Certifying Authority". As a result, a strong and trusted association between the certificate holder and its public key can become public information yet remain tamper-proof and reliable.

An important aspect of this reliability is a digital signature that the Certifying Authority stamps on a certificate before it is released for use. Subsequently, whenever the certificate is presented to a system for use of a service, its signature is verified before the subject holder is authenticated. After the authentication process

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is successfully completed, the certificate holder may be provided access to certain information and/or services.

Many legacy systems have been updated with open standard functionality, such as X.509 certificates, so that system services are widely available yet secure. Although an updated legacy system may be more conveniently accessed through the Internet or through a corporate intranet, there may be justifiable reasons for not modifying certain systems. Hence, many enterprises have legacy systems that are being maintained but not updated with new technologies.

Most legacy systems ensure secure access through the use of a password or other secret or secure information, such as biometric identifiers, that must be simultaneously asserted along with a user's identity. Since an individual may have many identities on different legacy systems, legacy systems are relatively inconvenient to use. The methodology of securing access to legacy systems can present barriers to enterprise-wide goals of enhancing efficiency and workflow compared with newer or updated interconnected systems that employ open standards for authentication.

Therefore, it would be advantageous to have a method and system in which secure user access to a legacy system could be provided through an interconnected system without the necessity of modifying the legacy system. It would be particularly advantageous to use the trusted relationships associated with digital certificates in order to authenticate user access to these legacy systems.

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SUMMARY OF THE INVENTION

5 The present invention is a method or system for coupling identities through the use of digital certificates, thereby allowing a client to be authenticated for a variety of services without those services having to modify their existing methods of authentication.

10 The client generates a request for a digital certificate containing its host identity for a targeted host and secret data associated with its host identity. The secret data has been encrypted using the public key of the certifying authority that receives the request for the digital certificate. The certifying authority decrypts the secret data using its private key and encrypts the secret data using the public key of the targeted host. The digital certificate is then generated and returned to the client.

20 A host receives the digital certificate from the client and obtains the client's host identity from the digital certificate, i.e. the host identity uniquely identifies the client or the user of the client to the host. Encrypted secret data associated with the host identity, such as a password, is also retrieved from the digital certificate. During an authentication process, the secret data securely associates the host identity with the entity that presents the host identity. The host decrypts the secret data with its private key, and the host then authenticates the client using the host identity and the decrypted secret data for various services. The digital certificate may be formatted according to the X.509 standard, and the host identity and secret information may be stored in an X.509 extension within the digital certificate.

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BRIEF DESCRIPTION OF THE DRAWINGS

The novel features believed characteristic of the invention are set forth in the appended claims. The invention itself, further objectives, and advantages thereof, will be best understood by reference to the following detailed description when read in conjunction with the accompanying drawings, wherein:

Figure 1A depicts a typical distributed data processing system in which the present invention may be implemented;

Figure 1B depicts a typical computer architecture that may be used within a data processing system in which the present invention may be implemented;

Figure 2 depicts a typical manner in which an entity obtains a digital certificate;

Figure 3 depicts an entity that may be authenticated to different systems or applications in different manners;

Figure 4 shows a simplified manner of using a digital certificate for a variety of purposes in accordance with the present invention;

Figure 5 shows some of the fields of a standard X.509 digital certificate;

Figure 6 shows the structure of a host identity mapping extension for use within an X.509 certificate in accordance with a preferred embodiment of the present invention;

Figure 7 depicts the use of a host identity mapping in accordance with a preferred embodiment of the present invention; and

Figures 8A-8C are flowcharts depicting the processing of a digital certificate for authenticating a certificate holder on a system using the identity mapping methodology of the present invention.

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DETAILED DESCRIPTION OF THE INVENTION

5 With reference now to the figures, **Figure 1A** depicts a typical network of data processing systems. Each of the data processing systems shown in **Figure 1A** may implement the present invention. Distributed data processing system **100** contains network **101**, which is the medium used to provide communications links between various devices and computers connected together within distributed data processing system **100**. Network **101** may include permanent connections, such as wire or fiber optic cables, or temporary connections made through telephone or wireless communications. In the depicted example, server **102** and server **103** are connected to network **101** along with storage unit **104**. In addition, clients **105-107** also are connected to network **101**. Clients **105-107** and servers **102-103** may be represented by a variety of computing devices, such as mainframes, personal computers, personal digital assistants (PDAs), etc. Distributed data processing system **100** may include additional servers, clients, routers and other devices not shown. In the depicted example, distributed data processing system **100** may include the Internet with network **101** representing a worldwide collection of networks and gateways that use the TCP/IP suite of protocols to communicate with one another. Of course, distributed data processing system **100** may also include a number of different types of networks, such as, for example, an intranet, a local area network (LAN), or a wide area network (WAN).

The present invention could be implemented on a variety of hardware platforms. **Figure 1A** is intended as an example

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of a heterogeneous computing environment and not as an architectural limitation for the present invention.

With reference now to **Figure 1B**, a diagram depicts a typical computer architecture of a data processing system, such as those shown in **Figure 1A**, in which the present invention may be implemented. Data processing system **110** contains one or more central processing units (CPUs) **112** connected to internal system bus **113**, which interconnects random access memory (RAM) **114**, read-only memory **116**, and input/output adapter **118**, which supports various I/O devices, such as printer **120**, disk units **122**, or other devices not shown, such as a sound system, etc. System bus **113** also connects communication adapter **124** that provides access to communication link **126**. User interface adapter **128** connects various user devices, such as keyboard **130** and mouse **132**, or other devices not shown, such as a touch screen, stylus, etc. Display adapter **134** connects system bus **113** to display device **136**.

Those of ordinary skill in the art will appreciate that the hardware in **Figure 1B** may vary depending on the system implementation. For example, the system may have one or more processors, and other peripheral devices may be used in addition to or in place of the hardware depicted in **Figure 1B**. The depicted examples are not meant to imply architectural limitations with respect to the present invention. In addition to being able to be implemented on a variety of hardware platforms, the present invention may be implemented in a variety of software environments. A typical operating system may be used to control program execution within the data processing system.

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The present invention may be implemented on a variety of hardware and software platforms, as described above. More specifically, though, the present invention is directed to providing an identity mapping methodology that secures
5 user access to applications or systems within a distributed data processing environment. To accomplish this goal, the present invention uses the trusted relationships associated with digital certificates in a novel manner to authenticate user access for an application or system. Before describing
10 the present invention in more detail, though, some background information about digital certificates is provided for evaluating the operational efficiencies and other advantages of the present invention.

Digital certificates support public key cryptography in which each party involved in a communication or transaction
15 has a pair of keys, called the public key and the private key. Each party's public key is published while the private key is kept secret. Public keys are numbers associated with a particular entity and are intended to be known to everyone
20 who needs to have trusted interactions with that entity. Private keys are numbers that are supposed to be known only to a particular entity, i.e. kept secret. In a typical public key cryptographic system, a private key corresponds to exactly one public key.

25 Within a public key cryptography system, since all communications involve only public keys and no private key is ever transmitted or shared, confidential messages can be generated using only public information and can be decrypted using only a private key that is in the sole possession of
30 the intended recipient. Furthermore, public key cryptography can be used for authentication, i.e. digital signatures, as well as for privacy, i.e. encryption.

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Encryption is the transformation of data into a form unreadable by anyone without a secret decryption key; encryption ensures privacy by keeping the content of the information hidden from anyone for whom it is not intended, even those who can see the encrypted data. Authentication is a process whereby the receiver of a digital message can be confident of the identity of the sender and/or the integrity of the message.

For example, when a sender encrypts a message, the public key of the receiver is used to transform the data within the original message into the contents of the encrypted message. A sender uses a public key to encrypt data, and the receiver uses a private key to decrypt the encrypted message.

When authenticating data, data can be signed by computing a digital signature from the data and the private key of the signer. Once the data is digitally signed, it can be stored with the identity of the signer and the signature that proves that the data originated from the signer. A signer uses a private key to sign data, and a receiver uses the public key to verify the signature. The present invention is directed to a form of authentication using digital certificates; some encryption is also performed during the processing within the present invention.

A certificate is a digital document that vouches for the identity and key ownership of entities, such as an individual, a computer system, a specific server running on that system, etc. Certificates are issued by certificate authorities. A certificate authority (CA) is an entity, usually a trusted third party to a transaction, that is trusted to sign or issue certificates for other people or entities. The CA usually has some kind of legal

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responsibilities for its vouching of the binding between a public key and its owner that allow one to trust the entity that signed a certificate. There are many such certificate authorities, such as VeriSign, Entrust, etc. These
5 authorities are responsible for verifying the identity and key ownership of an entity when issuing the certificate.

If a certificate authority issues a certificate for an entity, the entity must provide a public key and some information about the entity. A software tool, such as
10 specially equipped Web browsers, may digitally sign this information and send it to the certificate authority. The certificate authority might be a company like VeriSign that provides trusted third-party certificate authority services. The certificate authority will then generate the certificate
15 and return it. The certificate may contain other information, such as dates during which the certificate is valid and a serial number. One part of the value provided by a certificate authority is to serve as a neutral and trusted introduction service, based in part on their
20 verification requirements, which are openly published in their Certification Service Practices (CSP).

Typically, after the CA has received a request for a new digital certificate, which contains the requesting entity's public key, the CA signs the requesting entity's
25 public key with the CA's private key and places the signed public key within the digital certificate. Anyone who receives the digital certificate during a transaction or communication can then use the public key of the CA to verify the signed public key within the certificate. The
30 intention is that an entity's certificate verifies that the entity owns a particular public key.

The X.509 standard is one of many standards that defines the information within a certificate and describes the data format of that information. The "version" field

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indicates the X.509 version of the certificate format with provision for future versions of the standard. This identifies which version of the X.509 standard applies to this certificate, which affects what information can be specified in it. Thus far, three versions are defined. Version 1 of the X.509 standard for public key certificates was ratified in 1988. The version 2 standard, ratified in 1993, contained only minor enhancements to the version 1 standard. Version 3, defined in 1996, allows for flexible extensions to certificates in which certificates can be extended in a standardized and generic fashion to include additional information.

In addition to the traditional fields in public key certificates, i.e. those defined in versions 1 and 2 of X.509, version 3 comprises extensions referred to as "standard extensions". The term "standard extensions" refers to the fact that the version 3 of the X.509 standard defines some broadly applicable extensions to the version 2 certificate. However, certificates are not constrained to only the standard extensions, and anyone can register an extension with the appropriate authorities. The extension mechanism itself is completely generic.

Other aspects of certificate processing are also standardized. The Certificate Request Message Format (RFC 2511) specifies a format recommended for use whenever a relying party is requesting a certificate from a CA. Certificate Management Protocols have also been promulgated for transferring certificates. More information about the X.509 public key infrastructure (PKIX) can be obtained from the Internet Engineering Task Force (IETF) at www.ietf.org.

With reference now to **Figure 2**, a block diagram depicts a typical manner in which an individual obtains a digital certificate. User **202**, operating on some type of client computer, has previously obtained or generated a public/private key pair, e.g., user public key **204** and user

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private key **206**. User **202** generates a request for certificate **208** containing user public key **204** and sends the request to certifying authority **210**, which is in possession of CA public key **212** and CA private key **214**. Certifying authority **210** verifies the identity of user **202** in some manner and generates X.509 digital certificate **216** containing signed user public key **218** that was signed with CA private key **214**. User **202** receives newly generated digital certificate **216**, and user **202** may then publish digital certificate **216** as necessary to engage in trusted transactions or trusted communications. An entity that receives digital certificate **216** may verify the signature of the CA by using CA public key **212**, which is published and available to the verifying entity.

With reference now to **Figure 3**, a block diagram depicts an individual that may be authenticated to different systems or applications in different manners. **Figure 3** reflects the inefficiency in maintaining user identities in different manners on different systems.

User **302** possesses X.509 digital certificate **304**, which is transmitted to an Internet or intranet application **306** that comprises X.509 functionality for processing and using digital certificates. The entity that receives certificate **304** may be an application, a system, a subsystem, etc. Certificate **304** contains a subject name or subject identifier that identifies user **302** to application **306**, which may perform some type of service for user **302**.

User **302** may authenticate to other systems by sending authentication data **308** comprising identity information and some type of secret information, such as a password. Host system **310** receives authentication data **308**, which can be reconciled with identity information in system registry **312**, and host system **310** may then allow user **302** to use its services and resources. Although not shown in the figure, user **302** may have other identities on other host systems,

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which would require multiple sets of authentication data similar to authentication data **308**.

Figure 3 shows a problem that can arise when a user has multiple identities within an enterprise--the multiple identities may be decoupled, thereby forcing the systems within the enterprise to perform different methods of authentication. The subject name within the certificate is possibly unknown to many applications running on host systems, particularly legacy applications, yet the certificate holder may have an associated identity on the host systems. Because the identities are decoupled, a host application server may be prevented from taking advantage of the reliable authentication methodology that an X.509 certificate provides at lower level authentication protocols, such as a Secure Socket Layer (SSL) stack.

With reference now to **Figure 4**, a block diagram shows a simplified manner of using a digital certificate for a variety of purposes in accordance with the present invention. A more complete description of the present invention is provided with respect to **Figures 7-8C**. **Figure 4** merely provides a simple manner of observing the additional functionality provided by the present invention compared to prior art methodologies as shown in **Figure 3**.

User **402** possesses X.509 certificate **404** that contains HostIDMapping **406**, which is implemented as an extension within the certificate, as explained in more detail with respect to **Figure 6**. User **402** can send certificate **404** to various Internet/intranet applications **408**, as is typically performed in the prior art.

However, given that certificate **404** contains HostID mapping information **406**, certificate **404** may also be transmitted to host system **410**. Host system **410** has knowledge of various other identities of user **402** in system registry **412**. Host system **410** retrieves the HostID mapping information from the certificate and obtains an identity and

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associated secret information so that user **402** can be authenticated to various other applications or services within host system **410**, such as legacy application **414**, using only the presentation of certificate **404**. A separate transmittal of authentication data for legacy application **414** is not required after the user is authenticated to the host system.

With reference now to **Figure 5**, some of the fields of a standard X.509 digital certificate are shown. The constructs shown in **Figure 5** are in Abstract Syntax Notation 1 (ASN.1) and are defined within the X.509 standard.

With reference now to **Figure 6**, a diagram shows the structure of a host identity mapping extension for use within an X.509 certificate in accordance with a preferred embodiment of the present invention. The host identity mapping extension, shown as HostIDMapping in **Figure 6**, is a construct that contains: hostName, which identifies the host on which the associated subject identifier is located; subjectID, which is the identity on the associated host that belongs to the certificate holder; and proofOfIdPossession, which has the contents as shown in the IdProof construct.

The proofOfIdPossession data item is self-explanatory; it is used to prove that the certificate holder has possession of the named host identifier. The IdProof construct contains the secret information and an identifier for the encryption algorithm with which the secret data was encrypted. In other words, the subject identifier and the secret information in the host identity mapping extension serve a purpose similar to the identity and the password in authentication data **308** shown in **Figure 3**.

The secret information in the IdProof construct is some type of authentication secret that should be known only to the certificate holder and the host system, which is usually a password but may be some type of biometric identification

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information, etc. The secret information is encrypted in a process shown in more detail in **Figure 7**.

The host identity mapping is implemented as an extension as provided by the X.509 standard. It should be noted, however, that the format of the extension containing the host identity mapping information could vary from the format shown in **Figure 6**. The present invention may also use other digital certificate standards or formats other than X.509 as long as the digital certificates can convey the required information. In addition, a single digital certificate may contain many host identities, which may be found within the digital certificate by searching through the host names, thereby allowing the digital certificate to support host identity mapping on multiple host systems.

The proofOfIdPossession data item within the host identity mapping information should not be confused with the proof of possession (POP) of a private key. In a public key infrastructure, in order to prevent certain attacks and to allow a certificate authority to properly check the validity of the binding between an entity and a key pair, a receiver of a digital certificate may require that an entity prove that it has possession of (or is able to use) the private key corresponding to the public key for which a certificate is requested.

With reference now to **Figure 7**, a block diagram depicts the use of a host identity mapping in accordance with a preferred embodiment of the present invention. By using the trusted relationships associated with digital certificates, the present invention is able to map the identity of the certificate holder to a host identity of the certificate holder within an application or system that does not support digital certificates. The central processing is provided by an intermediate host system, also termed the targeted host.

Host system **700** provides services for clients, such as user **702**. User **702**, acting as a client entity of the public

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key infrastructure, has previously obtained or generated a public/private key pair, e.g., user public key **704** and user private key **706**. Host system **700** has previously published its certificate **708** containing its public key into network
5 directory **710**.

User **702** generates a request for certificate **712** containing encrypted host identity mapping data **714** and user public key **704**. Encrypted host identity mapping data **714** is created by encrypting the password or other secret
10 information that is associated with the identity by using the public key of certifying authority **716**, which is published and available to user **702**.

The encrypted host identity mapping data may also comprise other host information as necessitated by the
15 targeted host system. The format of the host identity mapping data may also vary depending upon the purposes and needs of a particular implementation of the present invention. The encrypted host identity mapping information may be generated in a variety of manners, such as encrypting
20 both the host identity and its associated secret information or merely encrypting the secret information. The intention is that the secret information should be encrypted to prevent illicit capture and use of the secret information. However, the host identity or other host information may not
25 necessarily require encryption.

User **702** sends the request to certifying authority **716**, which is in possession of CA public key **718** and CA private key **720**.

Certifying authority **716** verifies the identity of user
30 **702** in some manner and determines whether to issue a digital certificate for user **702**. If so, then certifying authority **716** decrypts encrypted host identity mapping data **714** (so-called CA-encrypted data, i.e. encrypted for use by the CA) using CA private key **720** and encrypts the host identity
35 mapping data with the public key of host system **700** as found

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in host certificate **708** stored in network directory **710**, thereby generating encrypted host identity mapping data **726** (so-called host-encrypted data, i.e. encrypted for use by the host). Certifying authority **716** then creates X.509
5 digital certificate **722** containing signed user public key **724** that was signed with CA private key **720** and encrypted host identity mapping data **726**.

User **702** receives newly generated digital certificate **722**, and user **702** may then publish digital certificate **722**
10 as necessary to engage in trusted transactions or trusted communications. An entity that receives digital certificate **722** may verify the signature of the CA by using CA public key **718**, which is published and available to the verifying entity.

At some point in time after receiving the digital
15 certificate, user **702** sends digital certificate **722** to host system **700**, which is in possession of host public key **728** and host private key **730**. Host system **700** retrieves encrypted host identity mapping information **726** from the
20 received certificate and employs host private key **730** to decrypt the encrypted secret information in the host identity mapping information. The retrieved identity and the decrypted secret information are then placed into authentication data **732**, which is sent to legacy application
25 **734**. If the digital certificate has multiple subject identifiers, i.e. host identities, each of the identities may have an associated password, and a single presentation of the digital certificate would allow the user to have access to applications and resources throughout the system.

30 With reference now to **Figures 8A-8C**, flowcharts depict the processing of a digital certificate for authenticating a certificate holder on a system using the identity mapping methodology of the present invention. The processing begins in **Figure 8A** with a client system generating or obtaining a
35 public/private key pair (step **802**). The client also obtains

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the public key of the certifying authority that will produce an X.509 certificate (step **804**). The client possesses a host identity on a targeted host system and its associated secret information, such as a password. The client encrypts the host identity mapping information using the CA public key (step **806**) and generates the certificate request containing the client public key and the encrypted host identity mapping information (step **808**).

The client then sends the certificate request to the certifying authority (step **810**). Assuming that the certificate request was processed successfully, the client eventually receives and stores its certificate containing its signed client public key and the host identity mapping information that was encrypted using the public key of the targeted host system (step **812**). The processing is then complete for the phase of obtaining a certificate containing host identity mapping information for use within a targeted host system.

The phase of generating the certificate within the certifying authority is shown in Figure 8B. The process begins when the certifying authority receives the certificate request from the client (step 820). The certificate request contains the public key of the client and the encrypted host identity mapping information for the client or certificate holder. The certifying authority verifies the identity of the certificate requester in some manner (step 822), and proceeds only if a certificate should be issued. At some point, the certifying authority also obtains the host public key (step 826).

The certifying authority then decrypts the host identity mapping information from the certificate request using the private key of the certifying authority (step 828). The certifying authority encrypts the host identity mapping information using the previously obtained host

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public key (step 830). Assuming the system is using X.509 certificates, the encrypted host identity mapping information may be stored within an X.509 certificate using the extension mechanism provided by the X.509 standard. The certifying authority generates and signs a digital certificate for the client containing the signed client public key and the encrypted host identity mapping information (step 832). The certifying authority then returns the certificate to the client (step 834), and the process of generating the certificate is complete.

The phase of using the certificate within the targeted host system is shown in **Figure 8C**. The processing begins when the client or certificate holder presents its certificate to the targeted host system (step **840**). The presented certificate contains encrypted host mapping information in addition to typical information that may be found within a digital certificate of this type. As noted previously, the certificate may contain multiple host identities that are to be used on multiple targeted host systems, although it might be assumed that there is a one-to-one relationship between the host identities in the certificate and the targeted host systems.

The host system then verifies the client certificate (step **842**) and decrypts the encrypted host identity mapping information using the host's private key (step **844**). The host system retrieves the host identity of the certificate holder and its associated secret information, e.g., a password, from the decrypted information (step **846**). The host system then uses the received host identity and secret information to authenticate the certificate holder on another system, subsystem, application, server, etc. (step **848**). For example, the host system may act as a proxy for the client in order to perform the authentication process, whereby the client obtains access to the other system or

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application without requiring the other system or application to contain digital certificate functionality (step **850**). The process of authenticating the client through the targeted host system is then complete.

5 The advantages of the present invention should be apparent in view of the detailed description of the invention that is provided above. By using a novel extension value within a digital certificate called Proof of Identity Possession (PIP), the present invention performs an
10 identity mapping by coupling the identity of a certificate holder of an X.509 digital certificate to its subject's identity as known to a host application server. In other words, a subject name within a certificate is mapped to a host application identity. Hence, the present invention
15 uses the trusted relationships associated with digital certificates in order to authenticate user access for a legacy application or system, thereby authenticating users on a legacy application or system without the problems and costs of modifying a legacy application or system to include
20 X.509 functionality.

 The solution provided by this invention can be used to implement single network sign-on based on X.509 certificates. For example, a digital certificate may include many or all of a user's enterprise-wide identities.
25 A user can perform a secure, sign-on operation during which the digital certificate is presented. Once the user has been authenticated within a distributed data processing system, though, the distributed data processing system can authenticate the user within systems, subsystems, and
30 applications within the distributed data processing system. The user may then access all applications or systems in which the user has an assigned identity within the distributed data processing system. Thus, an enterprise

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maintains desired security requirements while receiving the benefits of the latest public key infrastructure technology.

It is important to note that while the present invention has been described in the context of a fully functioning data processing system, those of ordinary skill in the art will appreciate that the processes of the present invention are capable of being distributed in the form of instructions in a computer readable medium and a variety of other forms, regardless of the particular type of signal bearing media actually used to carry out the distribution. Examples of computer readable media include media such as EPROM, ROM, tape, paper, floppy disc, hard disk drive, RAM, and CD-ROMs and transmission-type media, such as digital and analog communications links.

The description of the present invention has been presented for purposes of illustration but is not intended to be exhaustive or limited to the disclosed embodiments. Many modifications and variations will be apparent to those of ordinary skill in the art. The embodiments were chosen to explain the principles of the invention and its practical applications and to enable others of ordinary skill in the art to understand the invention in order to implement various embodiments with various modifications as might be suited to other contemplated uses.

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CLAIMS

What is claimed is:

- 5 1. A method for authenticating a client within a distributed data processing system, the method comprising the steps of:
- receiving a digital certificate from the client at a host within the distributed data processing system;
- 10 obtaining a host identity for the client from the digital certificate;
- retrieving host-encrypted secret data associated with the host identity from the digital certificate;
- 15 decrypting the host-encrypted secret data with a host private key; and
- authenticating the client using the host identity and the decrypted secret data.
- 20 2. The method of claim 1, wherein the host acts as a proxy for the client.
3. The method of claim 1 further comprising:
- verifying the received digital certificate.
- 25 4. The method of claim 1 further comprising:
- generating, at the client, a request for a digital certificate comprising host identity mapping data;
- sending the request for the digital certificate to a certifying authority (CA); and
- 30 receiving a digital certificate comprising host identity mapping data from the certifying authority.
5. The method of claim 4 further comprising:

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storing the host identity in the request for the digital certificate;

encrypting secret data associated with the host identity using a public key of the certifying authority to generate CA-encrypted secret data; and

storing the CA-encrypted secret data in the request for the digital certificate, wherein the host identity and the CA-encrypted secret data comprise the host identity mapping data in the request for the digital certificate.

6. The method of claim 4 further comprising:

receiving, at the certifying authority, the request for a digital certificate;

generating the digital certificate in response to the received request for the digital certificate; and

sending the generated digital certificate to the client.

7. The method of claim 4 further comprising:

retrieving CA-encrypted secret data from the host identity mapping data in the request for the digital certificate;

decrypting the CA-encrypted secret data associated with the host identity using a private key of the certifying authority to generate decrypted secret data;

encrypting the decrypted secret data associated with the host identity using a public key of the host to generate the host-encrypted secret data; and

storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

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8. The method of claim 1 wherein the digital certificate comprises multiple host identities for multiple hosts within the distributed data processing system.

5 9. The method of claim 1 wherein the digital certificate is formatted according to the X.509 standard.

10 10. The method of claim 9 wherein the host identity and the host-encrypted secret data associated with the host identity is stored within an X.509 extension within the digital certificate.

11. The method of claim 1 further comprising:
performing multiple authentication processes within the
15 distributed data processing system for the client through the host using information within the digital certificate.

12. A method for generating a digital certificate, the method comprising the steps of:
20 receiving, at a certifying authority (CA), a request for a digital certificate from a client, wherein the request for a digital certificate comprises host identity mapping data;

25 generating the digital certificate in response to the received request for a digital certificate; and

sending the generated digital certificate to the client, wherein the digital certificate comprises host identity mapping data from the certifying authority.

30 13. The method of claim 12 further comprising:
retrieving CA-encrypted secret data from the host identity mapping data in the request for a digital certificate;

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decrypting the CA-encrypted secret data associated with a host identity using a private key of the certifying authority to generate decrypted secret data;

encrypting the decrypted secret data associated with the host identity using a public key of a host to generate a host-encrypted secret data; and

storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

14. An apparatus for authenticating a client within a distributed data processing system, the apparatus comprising:

first receiving means for receiving a digital certificate from the client at a host within the distributed data processing system;

obtaining means for obtaining a host identity for the client from the digital certificate;

first retrieving means for retrieving host-encrypted secret data associated with the host identity from the digital certificate;

first decrypting means for decrypting the host-encrypted secret data with a host private key; and

authenticating means for authenticating the client using the host identity and the decrypted secret data.

15. The apparatus of claim 14, wherein the host acts as a proxy for the client.

16. The apparatus of claim 14 further comprising:

verifying means for verifying the received digital certificate.

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17. The apparatus of claim 14 further comprising:

first generating means for generating, at the client, a request for a digital certificate comprising host identity mapping data;

first sending means for sending the request for the digital certificate to a certifying authority (CA); and

second receiving means for receiving a digital certificate comprising host identity mapping data from the certifying authority.

18. The apparatus of claim 17 further comprising:

first storing means for storing the host identity in the request for the digital certificate;

first encrypting means for encrypting secret data associated with the host identity using a public key of the certifying authority to generate CA-encrypted secret data; and

second storing means for storing the CA-encrypted secret data in the request for the digital certificate, wherein the host identity and the CA-encrypted secret data comprise the host identity mapping data in the request for the digital certificate.

19. The apparatus of claim 17 further comprising:

third receiving means for receiving, at the certifying authority, the request for a digital certificate;

second generating means for generating the digital certificate in response to the received request for the digital certificate; and

second sending means for sending the generated digital certificate to the client.

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20. The apparatus of claim 17 further comprising:

second retrieving means for retrieving CA-encrypted secret data from the host identity mapping data in the request for the digital certificate;

5 second decrypting means for decrypting the CA-encrypted secret data associated with the host identity using a private key of the certifying authority to generate decrypted secret data;

10 second encrypting means for encrypting the decrypted secret data associated with the host identity using a public key of the host to generate the host-encrypted secret data; and

15 third storing means for storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

20 21. The apparatus of claim 14 wherein the digital certificate comprises multiple host identities for multiple hosts within the distributed data processing system.

22. The apparatus of claim 14 wherein the digital certificate is formatted according to the X.509 standard.

25 23. The apparatus of claim 22 wherein the host identity and the host-encrypted secret data associated with the host identity is stored within an X.509 extension within the digital certificate.

30 24. The apparatus of claim 14 further comprising:
performing means for performing multiple authentication processes within the distributed data processing system for

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the client through the host using information within the digital certificate.

25. An apparatus for generating a digital certificate, the apparatus comprising:

receiving means for receiving, at a certifying authority (CA), a request for a digital certificate from a client, wherein the request for a digital certificate comprises host identity mapping data;

generating means for generating the digital certificate in response to the received request for a digital certificate; and

sending means for sending the generated digital certificate to the client, wherein the digital certificate comprises host identity mapping data from the certifying authority.

26. The apparatus of claim 25 further comprising:

retrieving means for retrieving CA-encrypted secret data from the host identity mapping data in the request for a digital certificate;

decrypting means for decrypting the CA-encrypted secret data associated with a host identity using a private key of the certifying authority to generate decrypted secret data;

encrypting means for encrypting the decrypted secret data associated with the host identity using a public key of a host to generate a host-encrypted secret data; and

storing means for storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

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27. A computer program product on a computer readable medium for use in a distributed data processing system for authenticating a client, the computer program product comprising:

5 instructions for receiving a digital certificate from the client at a host within the distributed data processing system;

instructions for obtaining a host identity for the client from the digital certificate;

10 instructions for retrieving host-encrypted secret data associated with the host identity from the digital certificate;

instructions for decrypting the host-encrypted secret data with a host private key; and

15 instructions for authenticating the client using the host identity and the decrypted secret data.

28. The computer program product of claim 27, wherein the host acts as a proxy for the client.

20 29. The computer program product of claim 27 further comprising:

instructions for verifying the received digital certificate.

25 30. The computer program product of claim 27 further comprising:

30 instructions for generating, at the client, a request for a digital certificate comprising host identity mapping data;

instructions for sending the request for the digital certificate to a certifying authority (CA); and

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instructions for receiving a digital certificate comprising host identity mapping data from the certifying authority.

- 5 31. The computer program product of claim 30 further comprising:

instructions for storing the host identity in the request for the digital certificate;

10 instructions for encrypting secret data associated with the host identity using a public key of the certifying authority to generate CA-encrypted secret data; and

15 instructions for storing the CA-encrypted secret data in the request for the digital certificate, wherein the host identity and the CA-encrypted secret data comprise the host identity mapping data in the request for the digital certificate.

- 20 32. The computer program product of claim 30 further comprising:

instructions for receiving, at the certifying authority, the request for a digital certificate;

instructions for generating the digital certificate in response to the received request for the digital certificate; and

25 instructions for sending the generated digital certificate to the client.

33. The computer program product of claim 30 further comprising:

30 instructions for retrieving CA-encrypted secret data from the host identity mapping data in the request for the digital certificate;

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instructions for decrypting the CA-encrypted secret data associated with the host identity using a private key of the certifying authority to generate decrypted secret data;

5 instructions for encrypting the decrypted secret data associated with the host identity using a public key of the host to generate the host-encrypted secret data; and

10 instructions for storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

34. The computer program product of claim 27 wherein the digital certificate comprises multiple host identities for
15 multiple hosts within the distributed data processing system.

35. The computer program product of claim 27 wherein the digital certificate is formatted according to the X.509
20 standard.

36. The computer program product of claim 35 wherein the host identity and the host-encrypted secret data associated with the host identity is stored within an X.509 extension
25 within the digital certificate.

37. The computer program product of claim 27 further comprising:

30 instructions for performing multiple authentication processes within the distributed data processing system for the client through the host using information within the digital certificate.

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38. A computer program product on a computer readable medium for use in a distributed data processing system for generating a digital certificate, the computer program product comprising:

5 instructions for receiving, at a certifying authority (CA), a request for a digital certificate from a client, wherein the request for a digital certificate comprises host identity mapping data;

10 instructions for generating the digital certificate in response to the received request for a digital certificate; and

15 instructions for sending the generated digital certificate to the client, wherein the digital certificate comprises host identity mapping data from the certifying authority.

39. The computer program product of claim 38 further comprising:

20 instructions for retrieving CA-encrypted secret data from the host identity mapping data in the request for a digital certificate;

25 instructions for decrypting the CA-encrypted secret data associated with a host identity using a private key of the certifying authority to generate decrypted secret data;

instructions for encrypting the decrypted secret data associated with the host identity using a public key of a host to generate a host-encrypted secret data; and

30 instructions for storing the host-encrypted secret data in the digital certificate, wherein the host identity and the host-encrypted secret data comprise the host identity mapping data in the digital certificate.

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ABSTRACT OF THE DISCLOSURE**METHOD AND SYSTEM FOR COUPLING****AN X.509 DIGITAL CERTIFICATE WITH A HOST IDENTITY**

5

10 A method or system is presented for coupling identities
through the use of digital certificates, thereby allowing a
client to be authenticated for a variety of services without
those services having to modify their existing methods of
15 authentication. The client generates a request for a
digital certificate containing its host identity for a
targeted host and secret data associated with its host
identity. The secret data has been encrypted using the
public key of the certifying authority that receives the
20 request for the digital certificate. The certifying
authority decrypts the secret data using its private key and
encrypts the secret data using the public key of the
targeted host. The digital certificate is then generated
and returned to the client. At some point in time, a host
25 receives the certificate from the client and obtains the
client's host identity from the certificate, i.e. the host
identity uniquely identifies the client or the user of the
client to the host. Encrypted secret data associated with
the host identity, such as a password, is also retrieved
30 from the digital certificate. The host decrypts the secret
data with its private key, and the host then authenticates
the client using the host identity and the decrypted secret
data for various services. The digital certificate may be
formatted according to the X.509 standard, and the host
identity and secret information may be stored in an X.509
extension within the digital certificate.

The diagram illustrates a computer system 110. A central system bus 113 connects various internal components: a stack of CPUs (112), RAM (114), ROM (116), a User Interface Adapter (128), an I/O Adapter (118), and a Communication Adapter (124). External peripherals are connected to these adapters: a Display Adapter (134) to a Monitor (136) via the CPU; a Keyboard (130) and Mouse (132) via the User Interface Adapter; a Printer (120) and Disk (122) via the I/O Adapter; and a Communication Adapter (126) via the Communication Adapter.

Prior Art

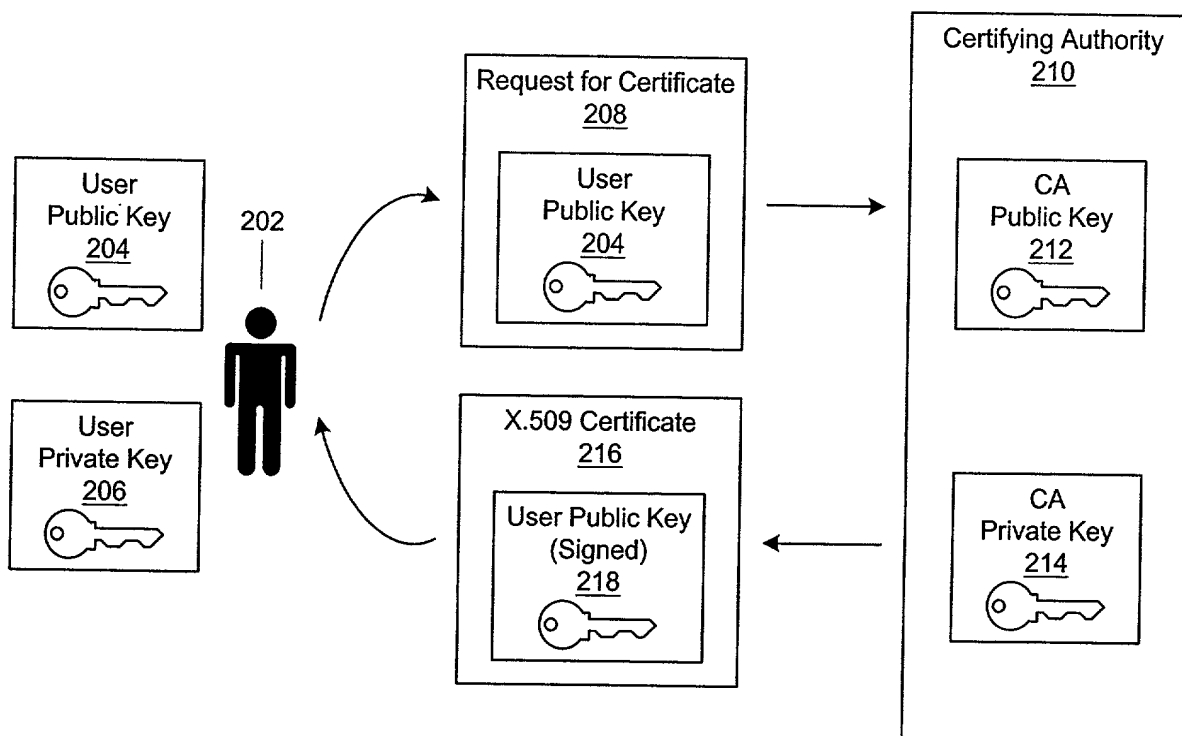
[illegible]

Figure 2

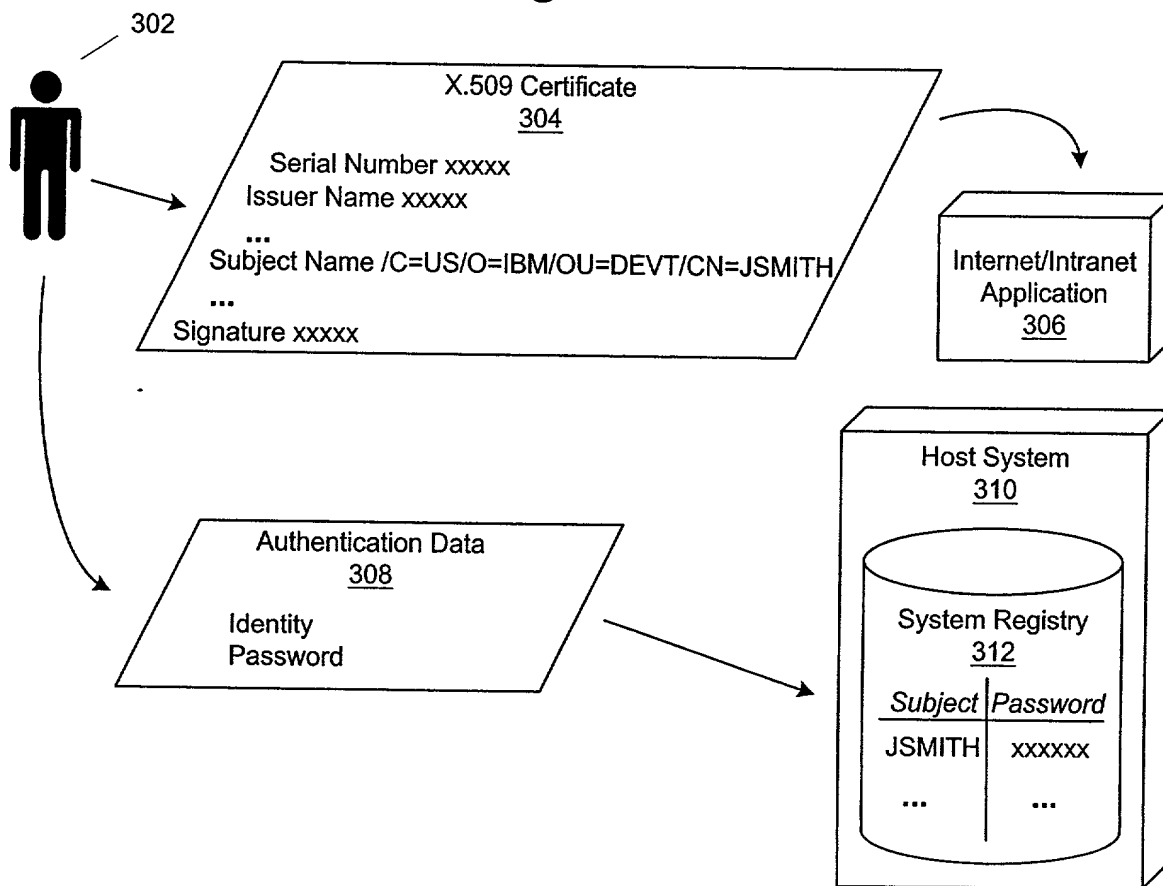


Figure 3

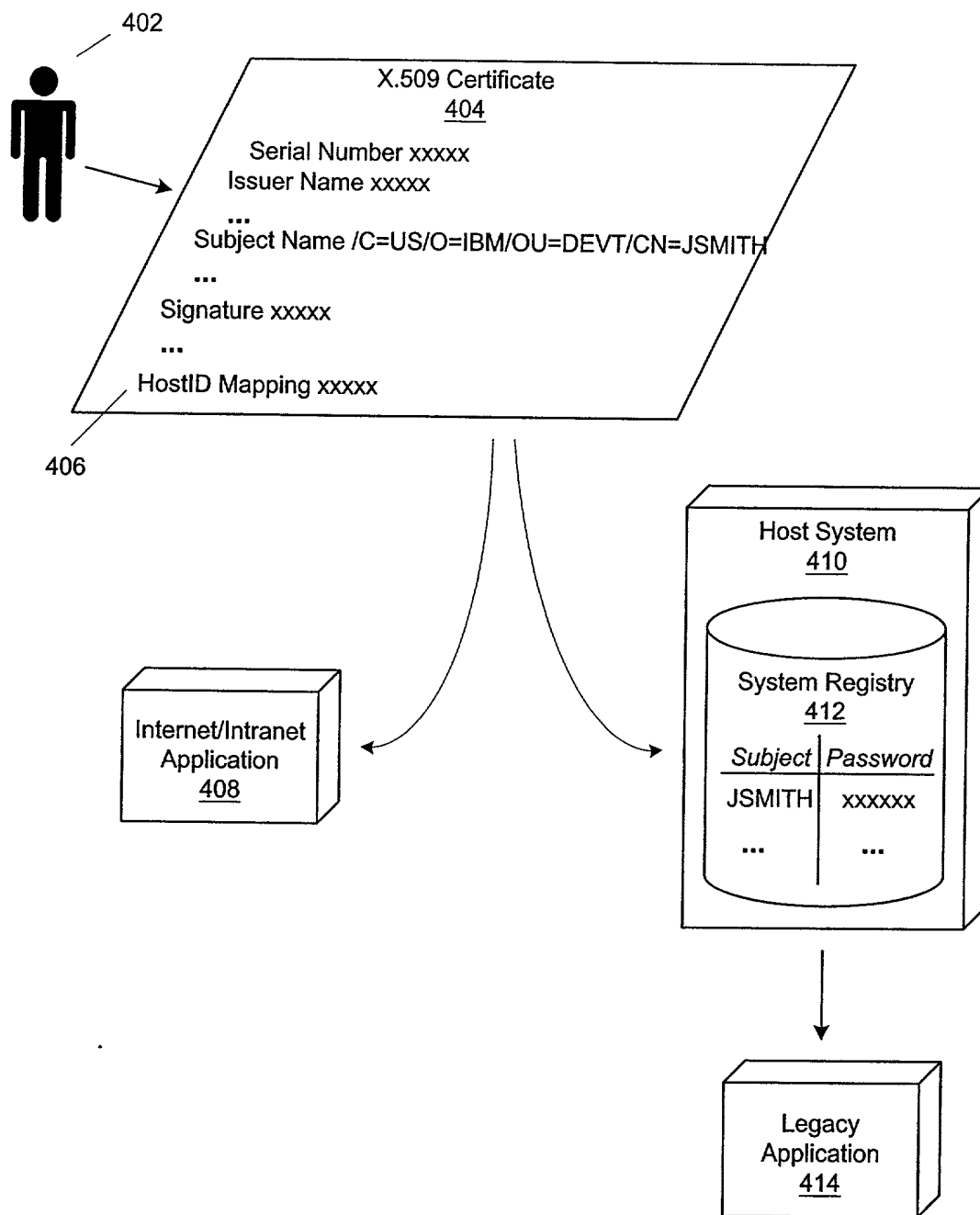


Figure 4

```

Certificate ::= SEQUENCE {
    tbsCertificate      TBSCertificate,
    signatureAlgorithm  AlgorithmIdentifier,
    signature            BIT STRING }

TBSCertificate ::= SEQUENCE {
    version              [0] Version DEFAULT v1,
    serialNumber         CertificateSerialNumber,
    signature            AlgorithmIdentifier,
    issuer               Name,
    validity             Validity,
    subject              Name,
    subjectPublicKeyInfo SubjectPublicKeyInfo,
    issuerUniqueID       [1] IMPLICIT UniqueIdentifier OPTIONAL,
    subjectUniqueID      [2] IMPLICIT UniqueIdentifier OPTIONAL,
    extensions           [3] Extensions OPTIONAL }

Version ::= INTEGER { v1(0), v2(1), v3(2) }

CertificateSerialNumber ::= INTEGER

Validity ::= SEQUENCE {
    notBefore           Time,
    notAfter            Time }

Time ::= CHOICE {
    utcTime             UTCTime,
    generalTime         GeneralizedTime }

UniqueIdentifier ::= BIT STRING

SubjectPublicKeyInfo ::= SEQUENCE {
    algorithm            AlgorithmIdentifier,
    subjectPublicKey     BIT STRING }

Extensions ::= SEQUENCE SIZE (1..MAX) OF Extension

Extension ::= SEQUENCE {
    extnID              OBJECT IDENTIFIER,
    critical             BOOLEAN DEFAULT FALSE,
    extnValue            OCTET STRING }

```

Figure 5
Priort Art

```

HostIdMapping ::= SEQUENCE {
    hostName            [1] IMPLICIT IA5String,
    subjectID           IMPLICIT IA5String,
    proofOfIdPossession IdProof OPTIONAL }

IdProof ::= SEQUENCE {
    secret              OCTET STRING,
    encryptionAlgorithm OBJECT IDENTIFIER }

```

Figure 6

The diagram illustrates a secure authentication process involving several components and their interactions:

- User (702):** Represented by a stick figure, the user possesses a **User Public Key (704)** and a **User Private Key (706)**.
- Host System (700):** Contains a **Host Public Key (728)** and a **Host Private Key (730)**.
- Request for Certificate (712):** A box containing the **User Public Key (704)** and **HostIdMapping (Encrypted for CA) (714)**. An arrow points from the User to this box.
- Certifying Authority (716):** Contains a **CA Public Key (718)** and a **CA Private Key (720)**. An arrow points from the Request for Certificate (712) to the Certifying Authority.
- X.509 Certificate (722):** A box containing a **User Public Key (Signed) (724)** and **HostIdMapping (Encrypted for Host) (726)**. An arrow points from the Certifying Authority to this box.
- Network Directory (710):** A cylinder containing a **Host X.509 Certificate (708)**. An arrow points from the X.509 Certificate (722) to the Network Directory.
- Authentication Data (732):** A box containing **Identity** and **Password**. An arrow points from the Host System (700) to this box.
- Legacy Application (734):** A box that receives input from the Authentication Data (732).

The process flow is as follows: The User (702) sends a Request for Certificate (712) to the Certifying Authority (716). The Certifying Authority (716) issues an X.509 Certificate (722) to the User. The User then sends the X.509 Certificate (722) to the Network Directory (710). The Host System (700) sends Authentication Data (732) to the Legacy Application (734).

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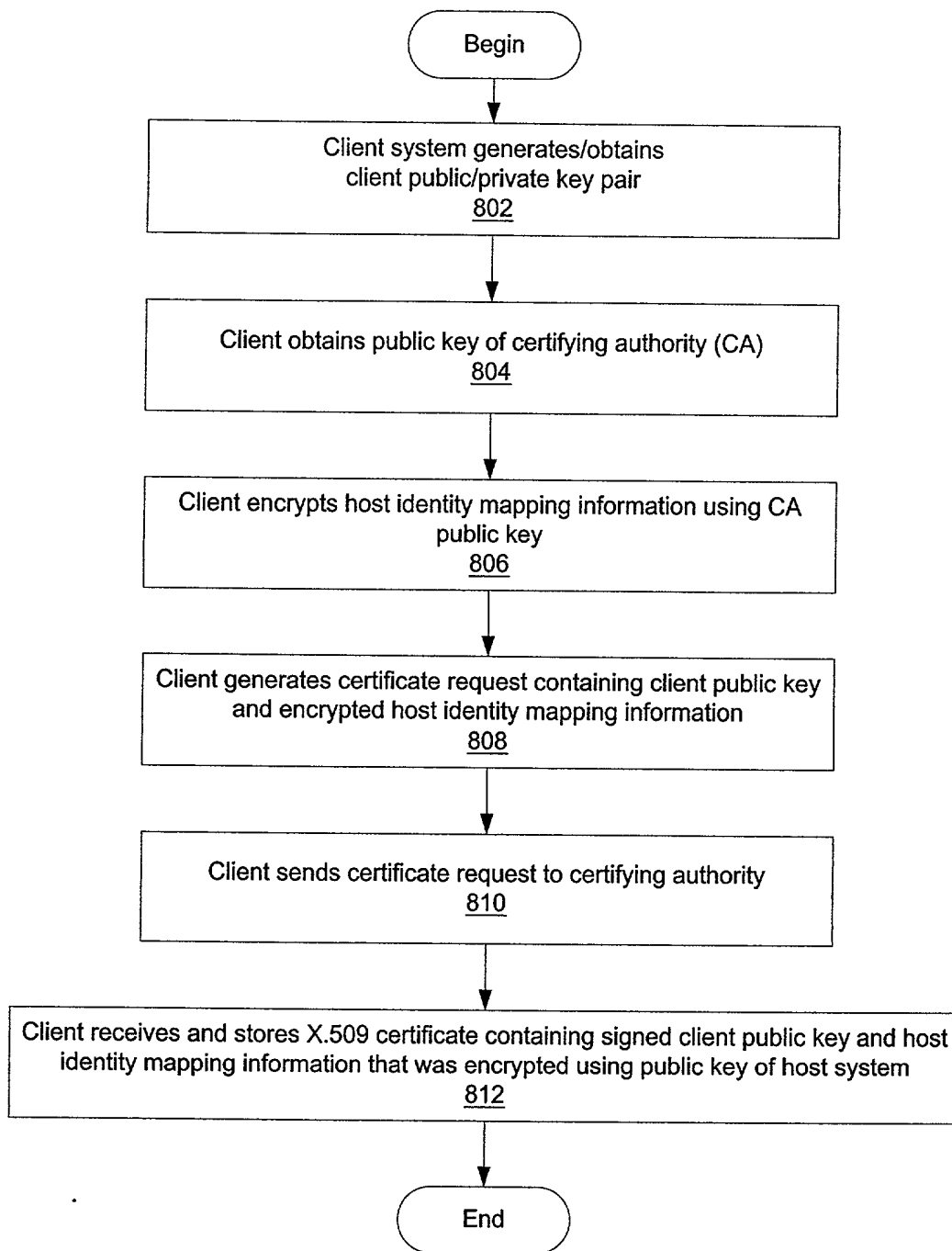


Figure 8A

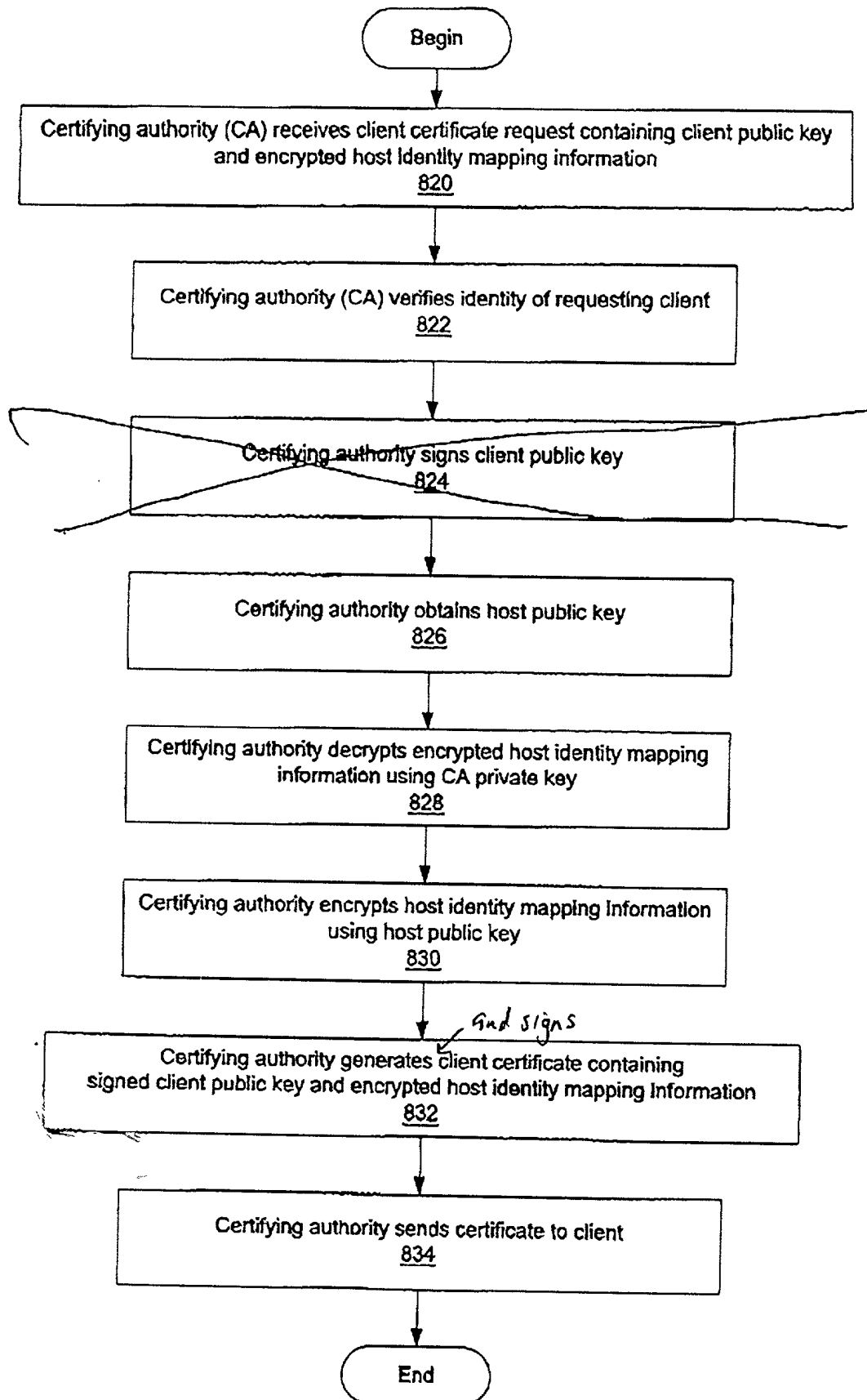


Figure 8B

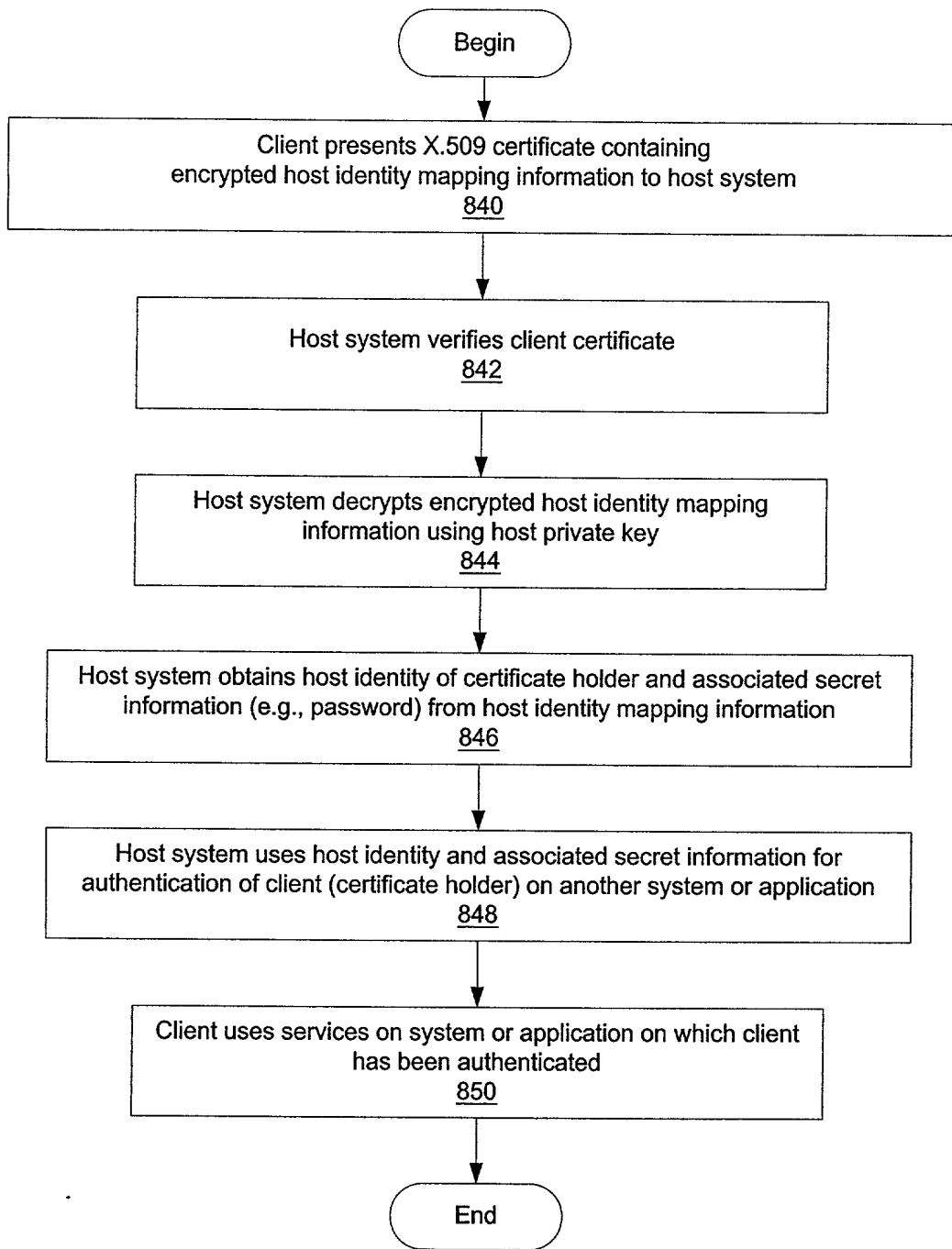


Figure 8C

DOCKET NUMBER: AUS9-2000-0255-US1

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND SYSTEM FOR COUPLING AN X.509 DIGITAL CERTIFICATE WITH A HOST IDENTITY

the specification of which (check one)

☒ is attached hereto.

— was filed on _____
as Application Serial No. _____
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year)	___ Yes ___ No
-------------------	--------------------	---------------------------	----------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

DOCKET NUMBER: AUS9-2000-0255-US1

(Application Serial #)

(Filing Date)

(Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

John W. Henderson, Jr., Reg. No. 26,907; Thomas E. Tyson, Reg. No. 28,543; James H. Barksdale, Jr., Reg. No. 24,091; Casimer K. Salys, Reg. No. 28,900; Robert M. Carwell, Reg. No. 28,499; Douglas H. Lefevre, Reg. No. 26,193; Jeffrey S. LaBaw, Reg. No. 31,633; David A. Mims, Jr., Reg. 32,708; Volel Emile, Reg. No. 39,969; Anthony V. England, Reg. No. 35,129; Leslie A. Van Leeuwen, Reg. No. 42,196; Christopher A. Hughes, Reg. No. 26,914; Edward A. Pennington, Reg. No. 32,588; John E. Hoel, Reg. No. 26,279; Joseph C. Redmond, Jr., Reg. No. 18,753; Marilyn S. Dawkins, Reg. No. 31,140; Mark E. McBurney, Reg. No. 33,114; and Joseph R. Burwell, Reg. No. 44,468.

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P.O. Box 28022
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and telephone calls to: (512) 597-1218
and faxes to: (512) 597-1218.

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INVENTORS SIGNATURE: Messaoud Benantar DATE: September 16, '00

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CITIZENSHIP: Algeria

POST OFFICE ADDRESS: 12113 Metric Blvd, Apt. 1631
Austin, TX 78758

FULL NAME OF SECOND INVENTOR: Thomas L. Gindin

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: Potomac, Maryland

CITIZENSHIP: USA

POST OFFICE ADDRESS: 12901 Stallion Court
Potomac, MD 20854

FULL NAME OF THIRD INVENTOR: Ivan Milman

INVENTORS SIGNATURE: _____ DATE: _____

DOCKET NUMBER: AUS9-2000-0255-US1

RESIDENCE: Austin, Texas

CITIZENSHIP: USA

POST OFFICE ADDRESS: 0 Placid Place
Austin, TX 78731

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(Number)

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(Day/Month/Year)

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INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: Austin, Texas

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FULL NAME OF SECOND INVENTOR: Thomas L. Gindin

INVENTORS SIGNATURE: Thomas L. Gindin DATE: Sept. 12, 2000

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Potomac, MD 20854

FULL NAME OF THIRD INVENTOR: Ivan Milman

INVENTORS SIGNATURE: _____ DATE: _____

DOCKET NUMBER: AUS9-2000-0255-US1

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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND SYSTEM FOR COUPLING AN X.509 DIGITAL CERTIFICATE WITH A HOST
IDENTITY

the specification of which (check one)

☒ is attached hereto.

☐ was filed on _____
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and was amended on _____
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Priority Claimed

(Number) (Country) (Day/Month/Year) ☐ Yes ☐ No

DOCKET NUMBER: AUS9-2000-0255-US1

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(Application Serial #)

(Filing Date)

(Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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